Lincolnshire
POLICE & CRIME COMMISSIONER
SAFER TOGETHER

GOVERNANCE CLASSIFICATION SCHEME AND MANAGEMENT RULES

CONTENTS

1. Introduction

1.1 This is the Police and Crime Commissioner (the PCC) for Lincolnshire's Governance Classification Scheme and Management Rules (the Scheme). It has been designed to improve and enhance records and information management processes and practices within the Office of the Police and Crime Commissioner (the OPCC).

1.2 This document is closely linked to the PCC's Records Management Policy Statement.

2. Purpose

2.1 The Scheme sets out a classification system that can be applied to the OPCC's records. There is a single Records Classification Scheme for both electronic and paper records (see Appendix 1). It aims to improve the accessibility of documents, for example for Data Protection or Freedom of Information purposes, and the speed of retrieval. The approach will help to ensure that information is controlled effectively and that the organisation can share information.

3. Glossary of Terms

3.1 The following definitions are given for terms used in this document:

Classification

3.2 Classification is the process of identifying the category or categories of business activity and the records they generate and of grouping them, if applicable, into files to facilitate description, control, links and determination of disposition and access status. [1]

Document

3.3 Discrete, individual items of written information in any form (paper or electronic) which constitute the smallest unit of filing. This includes traditional paper letters, memos and reports as well as electronic formats such as word processing documents, spreadsheets, emails and databases. Documents become records when they meet the definition of 'record' below.

Record

3.4 Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity.

Filing System

3.5 A system of organising, storing and identifying documents and records to enable their retrieval, use, and disposition. Systems can be either paper or electronic.

[1] BS/ISO/TR 15489-2: Information and Documentation - Records Management - Part 2: Guidelines (BSI 2001)

Filing

3.6 The physical process of placing documents and records in the appropriate location and order within a filing system.

File

3.7 A set of related documents and records (regardless of format) organised and kept together

Electronic Folder

3.8 An area on the computer where electronic documents can be filed and organised, within the Windows operating system environment.

Shared Network Drive

3.9 Electronic storage location on network accessible to a defined group of users.

4. Benefits

4.1 The Scheme is at the heart of effective information management within the OPCC. The benefits of using the Scheme are set out below:

- Placing records into context. A single record on its own provides little information. A group of related records provides substantially more information. A classification scheme provides the structure for grouping related information together.
- Providing linkages between individual records that accumulate to provide a continuous record of activity.
- Ensuring records are named in a consistent manner over time.
- Providing the primary storage structure for record keeping; determining where the records are stored. Assisting with the retrieval of records.
- Providing a framework for implementing access control policies, determining who is entitled to view and add new records.
- Used for determining appropriate retention periods and disposition actions for records.
- Allows records to be browsed. Browsing is distinct from searching. Searching uses metadata, information about the record, or content to find a record. Browsing finds the record by starting with broad categories and then progressively selecting narrower categories until the record can be located.

5. Filing Structure

5.1 The OPCC has a dedicated shared folder located on the central server on the Lincolnshire Police network.

5.2 Only OPCC staff (who have been given individual access rights) and the Force IT Server specialists have access to the central server. Members of the IT Helpdesk are able to view top level folders, but not individual files. The OPCC does not currently have access to an Electronic Records Management System (ERMS). However, Microsoft Windows File Manager is used as the basis for the OPCC to manage its electronic records.

5.3 The shared folder is organised into a structured, hierarchical filing system using appropriately named electronic folders.

- First level headings reflect key groupings of **functions** undertaken by the OPCC
- Second level terms are **main activities**
- The third level identifies the **sub activities** which typically occur when information is exchanged with another party as part of a business process

5.4 The number of folder/sub-folder levels in the hierarchy should be limited to avoid confusion and promote clarity and useability. Only in exceptional circumstances should a single folder exceed 5 levels of hierarchy.

Filing Structures Based on Business Functions and Activities

Level 1: Management and Administration	*- Top Level Function*
Level 2: Access to Information	*- Main Activity*
Level 3: Freedom of Information	*- Sub Activity*
Level 4: Requests	*- Sub Activity*
Level 5: 2014	*- Sub Activity*

6. Paper Filing System

6.1 Although many records are now created, received and maintained in electronic formats, the OPCC still creates and receives records in paper form which are stored in established paper filing systems.

6.2 The paper system has been structured to mirror the electronic filing system as far as possible. This allows easy association between records relating to the same matter held on different formats, enabling all records on a particular matter to be readily identified and accessed.

7. Security of Sensitive Information

7.1 Some information held on the shared folder will be considered sensitive or confidential, either on business grounds or through being the personal information of the PCC, OPCC staff members, the Chief Constable and others. Such information needs to be held securely and access to it limited to those members of staff who need to refer to it as part of their job. The following measures should be taken:

- Users should take care to protect their log-in details and avoid leaving their computers logged-on when unattended

- Levels of access by users to a shared folder and the individual documents contained within can be controlled, as appropriate, using security permissions settings under folder or document 'properties'. This function allows varying levels of access control ranging from full permission to create, read, write and edit, to read only permission (where all users can view a folder's contents, but only specified users can edit them) to folders and documents accessible only by one or more users.

7.2 For advice on managing permissions, please contact the OPCC Corporate Administration Officer (CAO).

8. Disposing of Documents and Records

8.1 Regular review of the documents and records stored in the shared folder, deleting any which are no longer required, is essential to maintain the efficiency and effectiveness of the filing structure.

Members of staff should routinely check to ensure that:

- Unnecessary duplicates of draft and final documents are deleted.
- Working copies of documents which are no longer required are deleted.
- Documents which have no continuing operational value are deleted.
- Records whose retention is covered by the OPCC's Retention and Disposal Policy (RDP) are disposed of in accordance with that policy.

9. Management Rules

What are Management Rules?

9.1 Management Rules are a set of explicit instructions that direct users on the OPCC's preferred means of managing records. These directions specify a variety of activities users are expected to conduct.

9.2 Management rules apply to both paper and electronic records.

Creation and Registration

9.3 Individuals wishing to create a new folder (either paper or electronic) should consult the CAO who is the lead officer for Records Management. This will ensure:

- Consistent folder naming.
- Minimal duplication or overlap between folders.
- An up-to-date record filing structure is available for all staff to use.

9.4 New folders must not be created arbitrarily. The CAO will use the Governance Classification Scheme to advise individuals on where new folders should be created. The CAO will ensure that the Scheme and the RDP Schedules are updated accordingly.

9.5 The CAO is responsible for checking that files are being stored consistently, in line with the Scheme and that there is no duplication of records.

Naming Conventions for Electronic Records and Folders

9.6 Naming conventions are a set of rules which enable the titling of folders, documents and records in a consistent and logical way which ensures that the correct records can be located, identified and retrieved from a filing system in a timely fashion. Although aimed primarily at the electronic environment, the principles of this guidance apply equally to hard copy records.

Use of Standard Terms

9.7 Standard terminology and forms of names to use in folder and document titles will be used and applied consistently. Titles will indicate the folder's content and reflect logical elements, such as the business functions and activities to which the records contained relate or theme/sub-theme relationships. Technical jargon should be avoided as this may change over time and make future identification and retrieval difficult to achieve.

Names of Bodies, People and Activities

9.8 Acronyms of bodies, people and activities should be used when creating folders and document titles.

Standard Naming Terms (bodies, people and activities)	
National Police Chiefs Council	**USE**: NPCC
Chief Finance Officer	**USE**: CFO
Force Control Room	**USE**: FCR

Names for Document Types

9.9 Standard names will be used for different document types, such as letters, minutes, reports, etc., and applied consistently. There will be no need to include descriptions such as 'presentation' or 'spreadsheet' in document titles, as this information will be apparent from the icon or file extension e.g. ***.ppt*** or ***.xls***

Structure of Titles

9.10 Document titles must contain enough information to identify the document if it becomes separated from its holding folder, but shouldn't substantially repeat information apparent from the folder titles forming its file path.

Note

Document titles used for incoming and outgoing correspondence have a number of unique components as described under Section 10 Managing Correspondence.

The following rules should be observed when titling documents and folders:

Rules for Structuring Document and Folder Titles

Dates should follow the *YYYYMMDD* format to ensure files and folders order chronologically:

For example, the 2nd May 2014 will be entered as 20140502

Personal names should be structured by Surname / Forename order:

For example, Roger Bloggs will be entered as Bloggs, Roger

Combine elements to aid retrieval:

For example, 20140502 Bloggs, Roger Appeal Letter

Version Control

9.11 It is important to consistently identify and distinguish versions of documents by including a version number as part of the title. This ensures a clear audit trail exists for tracking the development of a document and identifying earlier versions when needed.

The following should be observed when version numbering:

- Version numbering system is applied using numbers with points reflecting the major or minor changes made to the version, starting with the initial ***draft version 0.1***.

- Minor Amendments are recorded when small changes are made to the document such as spelling corrections, changes to contact numbers etc. Minor amendments to the document are reflected by incrementing the decimal number by ***.1***

- Major Amendments are recorded when big changes to the document are made that require the document to be re-approved (either by individual or groups). Major amendments to the document are reflected by incrementing the whole number by ***1.***

Amendment	Example	Explanation
Minor changes to draft (indicated by increasing the decimal figure)	Document version 0.1 Document version 0.2 Document version 0.3	First version of draft Second version of draft Third version of draft
Major changes are indicated by whole numbers	Document version 1.0 Document version 2.0 Document version 3.0	First approved version Second approved version Third approved version
Minor changes to approved documents indicated by increasing the decimal figure	Document version 1.0 Document version 1.1 Document version 2.4	First approved version Minor amendment of first approved version Fourth minor amendment of second approved version

9.12 The version number should be recorded on the document itself so that individuals, who have been asked to look at, or work to, a specific version of a document, can verify that they have the correct one. The version number should be clearly indicated either:

- on the front page of the document and in the footer of each page, or
- if it is not appropriate to have a front page (for example on a procedure) on a separate control document (filed electronically with the mail document) and in the footer of each page within the main document.

Version control table

9.13 Version control tables can be used to keep track what changes are made to documents, when and by whom.

Folder Titles

9.14 In addition to the guidance on naming conventions above, the following general principles should be kept in mind when titling electronic folders (and paper files):

(a) The title should describe the content of the folder:

- The title should accurately reflect and indicate the content of the folder to make it easy to locate the documents and records contained and help users readily identify the correct folder to which new records should be added
- It should differentiate the folder from all others on related matters
- If the subject, content or function of the folder changes, it should be renamed to reflect the change or closed and a new folder created

(b) Avoid folder titles which are too general:

- If a folder title is too broad, more material will be filed under it and it will be more difficult to identify and retrieve records when needed
- It is preferable to have several folders (subfolders) relating to specific matters rather than one relating to a broad area

(c) Avoid folder titles which are too specific:

- If the title is too specific, the records of a particular matter will end up spread across a large number of very small folders, making it more difficulty to view and retrieve them
- It is important to try and achieve the right balance between generality and specificity in folder naming

10. Managing Correspondence

Incoming Mail

10.1 The efficient administration of the OPCC relies on the proper processing, recording and timely allocation of incoming mail. Staff members must deal promptly and accurately with many different types of mail which will reach the OPCC in a variety of ways. Some will come through the post, some by hand, and

some by email, as messages posted on the PCC's website or, very occasionally, a facsimile. Some will bear security or privacy markings, such as 'confidential' 'restricted' or 'personal.' Some postal mail may contain remittances which will need to be carefully handled.

Postal Mail

10.2 Postal mail, including those bearing a security or privacy marking will be routinely opened, recorded and allocated. Rules for the opening and recording of post personally addressed to the PCC will be followed as directed. Post received in error will be returned to the Mail Room for re-sorting.

Recording Mail

10.3 An Excel spreadsheet termed the Correspondence Database (the Database) has been created within the shared folder so that items of correspondence can be registered, allocated, tracked and monitored. The Database is also used to record the receipt of payments, incoming telephone calls (where appropriate) and outgoing mail.

10.4 Mail which is opened and found to contain cheques, postal orders, bank drafts, money orders and/or cash payments will be carefully safeguarded. Payments will be recorded in the Correspondence Database before being handed over to the Finance department. Unopened mail containing payments will be handed over to Finance for opening and recording.

10.5 The 'Lincolnshire-PCC' email inbox in Outlook should be checked at least daily, ideally several times daily, for incoming email correspondence.

10.6 Each item of correspondence will be logged in the Database with the exception of the following mail types:

- Circulars and other correspondence received from the Association of Police and Crime Commissioners (APCC), College of Policing (CoP), Her Majesty's Inspector Constabulary (HMIC), Independent Police Complaints Commission (IPCC) and Ministry of Justice (MoJ). These will be recorded in a separate database.
- Commercial correspondence such as invoices, remittance advice, statements and receipts.
- Independent Custody Visitor expense claims, visit reports and conference / training returns.
- Claims for expenses and allowances.
- Correspondence received in error or not relevant to the OPCC.
- Routine internal messages such as read receipts / acknowledgements and alerts such as those circulated by the Mail Monitor.
- General sales correspondence and information about training courses, conferences, seminars and other events unless deemed relevant to the OPCC.
- Magazines and leaflets.
- Junk / spam emails.

Electronic Mail

The following describes the procedural steps for *logging* and *allocating* an individual item of incoming electronic mail:

1. Access the 'Lincolnshire-PCC' inbox within Outlook and select an e-mail.

2. Open the Database and select the next available blank row. Enter details of the correspondence under the relevant cell headings. By creating a new entry the correspondence will be assigned a unique reference number. Allocate the correspondence to an appropriate person to progress.

   Notes

   - The Correspondence Database is located here: *Y:\Police Authority Business\Correspondence\Letters\Police and Crime Commissioner's Correspondence*

   - See paragraph 10.18 for a description of each field heading within the Database

3. Amend the 'Subject' field of the original email within Outlook to show the current year and Database reference number, date received in YYYYMMDD format, prefix 'EF' (Email From), and the name of the correspondent *[for example: **2014-0120 20140423 EF John Smith**].* Save the amendment.

   Note
   Should two or more pieces of incoming correspondence have identical titles in the 'Subject' field, add the time received in HHMM format *[for example, **2014-0120 20140423 1723 EF John Smith**]*

4. Forward a copy of the email to the person allocated to progress the correspondence.

5. Click on the 'Flag Status' box next to the email entry in Outlook until a tick appears. This indicates that the correspondence has been processed.

6. Make a copy of the email (press Ctrl C) and save it (press Ctrl V) in the PCC's Correspondence file within the shared folder. Select the appropriate Year and relevant sub-folder corresponding to the Database reference number.

   Note

   - The PCC's Correspondence file is located here: *Y:\Police Authority Business\Correspondence\Letters\Police and Crime Commissioner's Correspondence*

The following describes the procedural steps for *responding* to an item of electronic mail:

7. Draft a suitable response (see Responding to Correspondence at Section 10.8). Access the original email in Outlook and select 'Reply'. Change the

prefix within the 'Subject' field to read 'ET' (Email To) and date sent in YYYYMMDD format [*for example:* ***2014-0120 20140502 ET John Smith***]. Complete the out-going email and press 'Send'. The response will appear in the 'Sent' items of the sender's email account in Outlook. Follow directions as per (6) above.

Note
Should two or more pieces of outgoing correspondence have identical titles in the 'Subject' field, add the time sent in HHMM format *[for example,* ***2014-0120 20140502 0930 ET John Smith****]*

8. Locate the relevant entry in the Database (searching on the Database reference number) and update.

   Note
   If copies of the original email and reply are to be transferred to another organisation (e.g. Lincolnshire Police) then repeat step (6) above to ensure that a full audit trail is maintained. The title of the transferred document should indicate who receiver is, for example, if a document is transferred to the Force Executive (through the Deputy Chief Constable's PA), the title would read: ***2014-0120 20140502 ET DCCPA re John Smith***

9. Once finalised, change the status of the entry within the Database from 'OPEN' to 'CLOSED' and enter the date the item is due to be archived (with reference to the RDP) in MMM-YYYY format. Highlight the entry in gray scale to provide a visual indication that the item of correspondence has been finalised.

(a) Paper Mail

The following describes the procedural steps for *logging*, *scanning* and *allocating* an individual item of incoming paper mail.

10. Date stamp the item of incoming mail. Create an entry in the Database and write the year and Database reference number onto the document.

    Scanning

    All paper correspondence will be scanned using the Multi Functional Device (MFD) in the OPCC (refer to the 'Scan to Email' procedure associated with the MFD). Prior to scanning the document write an 'S' by the Database reference number. The scanned document will be sent to you as a pdf email attachment in your Outlook account. Email attachments are limited to 10 Mbytes (approx 50 pages) so larger documents will need to be scanned in smaller 'chunks' and reassembled or not scanned.

    The original paper copy should be securely shredded and the scanned version used as the definitive record. However there are some instances where an exception will apply and the original document should be retained for its appropriate retention period. Examples are provided below:

    - Poor quality original paper documents for which a satisfactory scanned image has not been obtained

- Original paper documents which would require considerable enhancement for a good image to be achieved
- Original document contains physical amendments or annotations which cannot be identified as such on the scanned image
- Documents with physical amendments that have not been captured
- Original documents not owned by the PCC which are to be returned to the originator
- Legal reasons (including legal advice, contracts, tenders, conveyance files, leases, certificates, tenancy agreements and records subject to current or pending legal proceedings)
- Complaints, appeals and tribunals (whether relating to the PCC, OPCC or Lincolnshire Police)
- HR records (including employment records, health, discipline, grievance and professional development)
- Declarations (including personal interests, gifts and hospitality and codes of conduct)
- Signed copies of formal minutes

Original documents which are destroyed after scanning should be kept for at least as long as is necessary to quality check the scanned image against the original. Once the date for destruction/disposal has been reached the original documents must be destroyed according to the RDP.

11. Once scanned, allocate the document as per step (2) above. Save the scanned document in the PCC's Correspondence file as per step (6) above. When saving the document the title should show the current year and Database reference number, date received in YYYYMMDD format, prefix 'LF' (Letter From), and the name of the correspondent *[for example: **2014-0127 20140816 LF Joe Bloggs**]*. Save the amendment.

The following describes the procedural steps for *responding* to an item of paper mail.

12. Draft an appropriate response (see 'Responding to Correspondence' below) and despatch.

    If the incoming correspondence was scanned, the response should also be scanned and saved in the PCC's Correspondence file as per step (6) above. The paper copy of the reply can be securely shredded and the scanned version used as the definitive record.

    If the original incoming correspondence was not scanned it should be married with a hard copy of the reply and filed.

13. Locate the relevant entry in the Correspondence Database (using the Database reference number) and update.

    Note

14. If copies of the original correspondence and response are transferred to another organisation (e.g. Lincolnshire Police), repeat step (13) above to ensure a full audit trail is maintained.

15. Once finalised, change the status of the entry within the Database from 'OPEN' to 'CLOSED' and enter the date the item is due to be archived

(with reference to the RRDP) in MMYY format. Highlight the entry in gray scale to provide a visual indication that the item of correspondence has been finalised.

Allocating Mail

10.7 Depending upon the subject matter and the issues raised in the incoming correspondence, the responsibility for preparing an appropriate response will ordinarily be assigned to the following:

- Operational policing matters will be transferred to the Force Executive through the Deputy Chief Constable's PA ("DCCPA").
- Complaints made against the PCC or the Chief Constable will be referred to the OPCC Chief Executive and Monitoring Officer (the Chief Executive).
- Complaints made against police officers and staff, or in relation to the level of service received from the Force, will be referred to the CAO.
- Planning matters will be referred to the Chief Executive.
- General correspondence such as invitations to events, requests for meetings with the PCC, requests for PCC's views and observations on non-operational matters, sales, services and promotions will be processed by the PCC's Personal Assistant.
- Requests for information under the provisions of the Freedom of Information Act (FOIA) 2000, Environmental Information Regulations (EIR) 2014 or the Data Protection Act (DPA) 1998 will be referred to the CAO.

  Note

  Care should be taken when deciding whether correspondence requires an FOI or EIR response. It will not necessarily be appropriate to consider every request for information as intended to engage the statutory framework. If you are in doubt you should seek guidance from the CAO.

- Media related enquiries will be referred to the relevant Media/Communications body supporting the PCC.
- Correspondence and circulars received from government and policing related bodies such as the Home Office, Association of Police and Crime Commissioners (APCC), College of Policing (CoP), Her Majesty's Inspector Constabulary (HMIC), Independent Office for Police Conduct (IOPC) and the Ministry of Justice (MoJ) will not be recorded in the Database. These are recorded in a number of separate spreadsheets maintained by the OPCC Research and Policy Officer (RPO).

Responding to Correspondence

10.8 Correspondence received as a message posted on the PCC's website or as an email sent to either the Lincolnshire-PCC or Complaints-PCC email accounts, will receive an automatic acknowledgement. Correspondence received through other routes such as by post or facsimile should ordinarily be acknowledged in writing within 3 working days of being logged onto the Database.

Note

Some correspondence logged onto the Database will not require or request a response. These could include notifications (such as a change of contact details) or some comments.

10.9 A full substantive response to routine correspondence should follow within a maximum of 20 working days of the day after the correspondence is received. If this timescale cannot be achieved a 'holding' reply should be sent apologising for the delay and explaining when a response can be expected.

10.10 When calculating the response date for correspondence that has been transferred from another organisation (e.g. Lincolnshire Police), such correspondence will be treated in the same way as correspondence sent direct from the OPCC, i.e. the 'clock starts' the day after it is received by the OPCC.

10.11 There will be occasions when correspondence will need to be transferred to another organisation (e.g. Lincolnshire Police) for a substantive response. You should aim to get agreement on transfers within 3 working days and the original correspondence transferred as soon as possible thereafter.

Note

The PCC has agreed a protocol with Lincolnshire Police to ensure that complaints about the Chief Constable received by the Force are forwarded to the PCC as soon as possible (and ideally within 24 hours). Complaint correspondence received by the PCC/OPCC regarding the delivery of policing services or about individual police officers/staff (below the rank of Chief Constable) will similarly be forwarded to the Force Professional Standards department as soon as possible.

10.12 When transferring correspondence to another organisation, it should be made clear as part of that transfer whether updates are required and/or confirmation of outcome.

10.13 Whilst e-mails may be generally dealt with more quickly than written correspondence, priority should not be given to e-mails above written correspondence.

10.14 When drafting replies, it is important to ensure that responses are of the highest quality – accurate, clear and helpful. Be to the point, avoiding jargon and references to legislation unless absolutely necessary.

10.15 Replies should be properly referenced. Where the incoming item of correspondence has a reference number, this should be quoted in the reply.

10.16 Approval may be required from the PCC or members of the OPCC Senior Management Team (SMT) if responses have been drafted on their behalf.

Cross Referencing

10.17 As the OPCC has both electronic and paper based filing systems there may well be occasions when it will be necessary to cross reference between the two to indicate to users accessing either a paper or electronic file that there are additional records held in another format elsewhere.

The following approach to cross referencing will be used:

- Open up the relevant entry in the Database and input a note under the 'Action / Date' field to indicate the existence of related documents in a mirror paper or electronic file.

Correspondence Database

10.18 The following is a brief explanation of each of the field headings within the Database:

***Ref No*:** *Unique reference number assigned to each entry*

***Category*:** *High level descriptor for the correspondence. You will need to select one of the following classifications:*

- ***Complaint***
- ***Consultation***
- ***FOI*** *[Freedom of Information]*
- ***ICV*** *[Independent Custody Visiting]*
- ***Incoming Telephone Call***
- ***Invitation***
- ***Local Policing***
- ***Media***
- ***Sales / Services / Promotion***
- ***Surveys / Research***
- ***General*** *[if not falling under any of the above classifications]*

***Name*:** *Name of sender (if applicable)*

***Organisation*:** *Name of sender organisation (if applicable)*

***Mode*:** *Select from one of the following:*

- ***E*** *for an Email*
- ***L*** *for a Letter*
- ***F*** *for a Fax*
- ***T*** *for a Telephone Call*

***Subject*:** *Provide a brief description of the subject matter*

***Date of Corresp*:** *Date on the correspondence*

***Date Received*:** *Date correspondence received in the OPCC*

***Date Allocated*:** *Date correspondence allocated*

***Date Acknowledged*:** *Date correspondence acknowledged*

***Officer Currently Dealing*:** *Member of staff allocated the item of correspondence*

***Status*:** *Select '**OPEN**' when live, '**CLOSED**' when complete, '**ARCHIVED**' when put in storage and '**DISCARDED**' when disposed of under the RRDP*

***Action / Date*:** *Used to record what action(s) has been taken and the date(s) it was taken.*

The following additional fields should be completed for consultative documents:

***Force/G4S Response Deadline*:** *Date set for response from Force and/or G4S (if applicable)*

***Force/G4S Response Received*:** *Date response received from Force and/or G4S (if applicable)*

***Date of Final Response*:** *Date final response sent to the consultee*

The following additional field should be completed when individual records are archived or destroyed in accordance with the RRDP:

***Date Records Archived/Discarded*:** *Date record archived or destroyed. Enter the date under the cell heading appropriate to your post.*

11. Government Security Classification Scheme

11.1 The Government Security Classification Scheme (GSCS) comprises three markings. In ascending order of sensitivity they are:

OFFICIAL (or **OFFICIAL SENSITIVE)** - *any* information that is created, processed, generated, stored or shared.

SECRET – very sensitive information that justifies heightened protective measures to defend against determined and highly capable threats.

TOP SECRET - the most sensitive information requiring the highest levels of protection from the most serious threats.

11.2 It is highly unlikely that the OPCC will be in receipt of information with a security marking of SECRET and above. See Appendix 2 for more detailed guidance on the GSCS.

12. Clear Desk Policy

12.1 To improve the security and confidentiality of information, the OPCC has adopted a 'clear desk' policy for papers and removable storage media. This is to reduce the risk of unauthorised access, loss of, and damage to, information during and outside normal working hours or when areas are left unattended.

12.2 Whilst it is impossible to offer guidance on every possible example related to this issue, a risk assessment process should apply which is closely related to the GSCS marking of the information (see Appendix 2). In practical terms this means that the more sensitive the information is then the greater care that must be taken to ensure that unauthorised persons do not have access to it, for example, by being able to easily read it in passing. Risk assessments should take into account, at least, the time away from the information, any possibility of

unauthorised access to the information whilst away from it, the nature of the GSCS marking on it and the level of risk the location presents in respect of unauthorised disclosure and/or misuse.

12.3 During lengthy periods away from the information, for example, at the end of each working day or when the document/information is no longer in use, paper and computer media should be stored away in locked drawers, filing cabinets, cupboards or other forms of secure storage.

12.4 It is the responsibility of line managers to ensure that the meaning of 'clear desk' is understood by staff members in context to their role and that they regularly 'police' their clear desk requirements to make sure staff comply with them.

13. Accessibility

13.1 Being able to locate and access the information being created in as quick and easy a manner as possible is clearly a vital issue. Failure to achieve this risks user frustration, wasted resources and potential difficulties in complying with legal requirements.

13.2 Individual silos of information whose contents are known to and accessible only by a single member of staff is not helpful. Not only does it severely limit the usefulness of that information but may also make it difficult to provide an accurate and complete answer to an access to information request or other similar legal/regulatory requirement.

13.3 Staff should not set up or use any files on their local 'C' disk drive. This information is not accessible to other members of staff and will not backed-up by the Force IT department.

14. Personal Storage

14.1 The storage of documents in personal folders should be avoided as it makes sharing more difficult, with files being harder to locate. It also hinders the corporate approach to retention of documents as individuals may have their own approach to classifying information. Also, when a member of staff leaves the organisation, documents need to be re-filed to ensure that they are accessible.

14.2 The only exception to personal storage of files is when information relates to personal activities – such as professional development reviews, job evaluation forms, time off in lieu and learning and development information. These can be stored under the user's own network drive (not on the shared OPCC folder).

Retrieval

14.3 Information can be retrieved via a number of methods. The user can locate a particular document or record through their own knowledge and awareness of the Records Classification Scheme (Appendix 1), or they can browse (looking through files) or search for e-files using the Microsoft search facility[2].

[2] Go to Windows Explorer and select 'search' from the toolbar

Alteration

14.4 Alterations to the Records Classification Scheme (Appendix 1) should be discussed and agreed with the CAO. Members of staff are encouraged to feed in any ideas and suggestions for improving the Scheme.

Maintenance

14.5 The CAO will be responsible for ensuring that the Management Rules are being applied consistently. This will include a broad level check and scan of folders and files to check for any obvious errors and cases of misfiling and random dip sampling at a lower level. The ongoing monitoring of maintenance standards will ensure that any problems can be rectified and users provided with information and/or training to avoid recurrence.